

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Kunihiko SAKURAI et al. :  
Serial No. NEW : **Attn: APPLICATION BRANCH**  
Filed January 5, 2004 : Attorney Docket No. 2003-1770  
  
**POLISHING APPARATUS  
(Rule 1.53(b) Divisional  
of Serial No. 10/026,763,  
Filed December 27, 2001)**

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 10/026,763.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

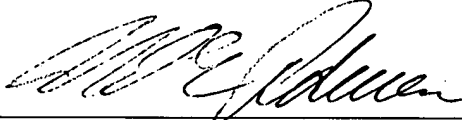
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Kunihiko SAKURAI et al.

By 

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January 5, 2004

THE COMMISSIONER IS AUTHORIZED  
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FEES FOR THIS PAPER TO DEPOSIT  
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FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: January 5, 2004

ATTY DOCKET NO.  
2003-1770SERIAL NO.  
NEWAPPLICANT  
Kunihiko SAKURAI et al.FILING DATE  
January 5, 2004

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,062,954	5/2000	Izumi			
	AB	6,156,124	12/2000	Tobin			
	AC	5,897,426	4/1999	Somekh			
	AD	6,036,582	3/2000	Aizawa et al.			
	AE	6,180,020	1/2001	Moriyama et al.			
	AF	5,655,954	8/1997	Oishi et al.			
	AG	5,893,795	4/1999	Perlov et al.			
	AH	5,830,045	11/1998	Togawa et al.			
	AI	5,738,574	4/1998	Tolles et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	9-232257	9/1997	JP				
	AK	97/10613	3/1997	WO				
	AL	5-285807	11/1993	JP				
	AM	197634	4/1908	Germany				
	AN	96/36459	11/1996	WO				

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	U.S. Patent Application No. 09/301,718, filed April 4, 1999, entitled "Method and Apparatus For Polishing Workpiece", by Noburu SHIMIZU et al., located in Group Art Unit 3723.
	AP	Kaitoh Tei et al., "Planarization of Device Wafer with Fixed Abrasive Particles (Second Report)" - - Planarization Working Characteristics with Fine Silica Grindstone - -, from the Japan Society for Precision Engineering.
	AQ	U.S. Patent Application No. 09/663,417, filed September 15, 2000, entitled "Polishing Apparatus", by Kunihiko SAKURAI et al., located in Group Art Unit 3723.

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,679,059	10/1997	Nishi et al.			
	AB	4,141,180	2/1979	Gill, Jr. et al.			
	AC	5,827,110	10/1998	Yajima et al.			
	AD	5,232,875	8/1993	Tuttle et al.			
	AE	5,649,854	7/1997	Gill, Jr.			
	AF	5,562,524	10/1996	Gill, Jr.			
	AG	5,329,732	7/1994	Karlsrud et al.			
	AH	5,554,064	9/1996	Brievogel et al.			
	AI	5,885,138	3/1999	Okumura et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	82/03038	9/1982	WO				
	AK	874 309 A1	10/1998	Europe				
	AL	9-232257	9/1997	JP				
	AM	7-135192	5/1995	JP				
	AN	8-64562	3/1996	JP				

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	U.S. Patent Application No. 09/341,882, filed September 8, 1999, entitled "Polishing Apparatus", by Seiji KATSUOKA et al., located in Group Art Unit 3723.
	AP	U.S. Patent Application No. 09/518,958, filed March 3, 2000, entitled "Polishing Apparatus", by Kunihiko SAKURAI et al., located in Group Art Unit 3723, a C-I-P of application Serial No. 09/476,905, filed January 3, 2000.
	AQ	

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,616,063	4/1997	Okumura et al.			
	AB	3,906,678	9/1975	Roth			
	AC	3,913,271	10/1975	Boettcher			
	AD	5,718,618	2/1998	Guckel et al.			
	AE	5,989,107	11/1999	Shimizu et al.			
	AF	5,618,227	4/1997	Tsutsumi et al.			
	AG	3,659,386	5/1972	Goetz et al.			
	AH	4,680,893	7/1987	Cronkhite et al.			
	AI	5,551,986	9/1996	Jain			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	5-285807	11/1993	JP				
	AK	807 492 A2	11/1997	Europe				
	AL	10-256201	9/1998	JP				
	AM	5-74749	3/1993	JP				
	AN	2-208931	8/1990	JP				

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,951,373	9/1999	Shendon et al.			
	AB	5,839,947	11/1998	Kimura et al.			
	AC	6,050,884	4/2000	Togawa et al.			
	AD	6,293,855	9/2001	Yoshida et al.			
	AE	5,498,199	3/1996	Karlsrod et al.			
	AF						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AG	4-69147	3/1992	JP				
	AH	0 517 594	12/1992	Europe				
	AI	0 684 634	11/1995	Europe				
	AJ	2-267950	11/1990	JP				
	AK	64-42823	2/1989	JP				
	AL	0761387A1	3/1997	EP				
	AM	0807492A2	11/1997	EP				
	AN	0928662A2	7/1999	EP				
	AO	0793261A2	9/1997	EP				

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP	
	AQ	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.